

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.
ICOR-002 CIP

SERIAL NO.
09/692,029

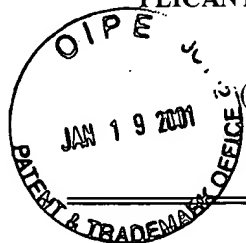
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT

APPLICANT
Handa, et al.

FILING DATE
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U.S. PATENT DOCUMENTS

EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
nm	A1	3,573,747	4/6/71	Adams, et al.			
nm	A2	4,674,044	6/16/87	Kalmus, et al.			
nm	A3	4,942,616	7/17/90	Linstroth, et al.			
nm	A4	4,980,826	12/25/90	Wagner			
nm	A5	5,038,284	8/6/91	Kramer			
nm	A6	5,077,665	12/31/91	Silverman, et al.			
nm	A7	5,101,353	3/31/92	Lupien, et al.			
nm	A8	5,136,501	8/4/92	Silverman			
nm	A9	5,375,055	12/20/94	Togher, et al.			
nm	A10	5,724,524	3/3/98	Hunt, et al.			
nm	A11	5,774,880	6/30/98	Ginsberg			
nm	A12	5,802,499	9/1/98	Sampson, et al.			
nm	A13	5,809,483	9/15/98	Broka, et al.			
nm	A14	5,857,176	1/5/99	Ginsberg			
nm	A15	5,873,071	2/16/99	Ferrstenberg, et al.			
nm	A16	5,905,974	5/18/99	Fraser, et al.			
nm	A17	5,915,209	6/22/99	Lawrence			
nm	A18	5,924,082	7/13/99	Silverman, et al.			

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
nm	B1	0512702 A2	11/11/92	Europe				
nm	B2	WO 99/19821	4/22/99	WIPO				
nm	B3	0411748 A2	2/6/91	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

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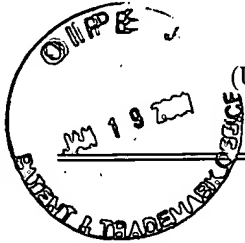
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<i>nm</i>	A19	5,924,083	7/13/99	Silverman, et al.			
<i>nm</i>	A20	5,963,923	10/5/99	Garber			
<i>nm</i>	A21	5,987,419	11/16/99	Hachino, et al.			
<i>nm</i>	A22	6,012,046	1/4/00	Lupien, et al.			
<i>nm</i>	A23	6,014,627	1/11/00	Togher, et al.			
<i>nm</i>	A24	6,014,643	1/11/00	Minton			
<i>nm</i>	A25	6,016,483	1/18/00	Rickard, et al.			
<i>nm</i>	A26	6,026,383	2/15/00	Ausubel			
<i>nm</i>	A27	6,058,379	5/2/00	Odom, et al.			

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							YES	NO
<i>nm</i>	B4	0399850 B1	12/13/95	Europe				
<i>nm</i>	B5	0407026 B1	11/22/95	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

<i>nm</i>	C1	Schmerken, Ivy, <i>Banks Eye Forex Matching Systems</i> , Wall Street Computer Review, Vol. 9, No.2, pp. 45-46 and 49-51, November 1991.					
<i>nm</i>	C2	Wilson, John F., <i>On-Line International Cash Management</i> , Annual ACM Conference, 1983.					
<i>nm</i>	C3	Burman, Michael, <i>Aspects of a High-Volume Production Online Banking System</i> , IEEE Compcon, Spring of 1985.					
<i>nm</i>	C4	Sammer, Harald W., <i>Online Stock Trading Systems: Study of an Application</i> , IEEE Compcon, Spring of 1987.					
<i>nm</i>	C5	Clemons, E.K., et al., <i>Merrill Lynch Cash Management Account Financial Service: A Case Study in Strategic Information Systems</i> , 21 st Annual Hawaii International Conference on Systems Sciences, Vol. 4, 1988.					

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OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

<i>mm</i>	C6	Finebaum, Murray L., <i>Information Systems in the Securities Industry</i> , 21 st Annual Hawaii International Conference on System Sciences, Vol. 4, 1988.
<i>mm</i>	C7	Sager, M.T., <i>Competitive Alliances With Information Technology - The Australian Retail Banking Experience</i> , 22 nd Annual Hawaii International Conference on System Sciences, Vol. 4, 1989.
<i>mm</i>	C8	Gutner, Tammi, <i>Fine If You're Big</i> , The Banker, October, 1988.
<i>mm</i>	C9	Arend, Mark, <i>Swift Speeds Up As Broker/Dealers Join</i> , Wall Street Computer Review, January, 1989.
<i>mm</i>	C10	Essinger, James, <i>ISE's 'SAEF' Debuts to Make the Market Sound</i> , Wall Street Computer Review, May, 1989.
<i>mm</i>	C11	Freund, William C., <i>Electronic Trading and Linkages in International Equity Markets</i> , Financial Analysis Journal, May-June, 1989.
<i>mm</i>	C12	Schmerken, Ivy, <i>High-Tech Banks Set to Challenge Wall Street</i> , Wall Street Computer Review, July, 1989.
<i>mm</i>	C13	Arend, Mark, <i>Banks Lure Investors With High-Tech Convenience</i> , Wall Street Computer Review, December, 1989.
<i>mm</i>	C14	Arend, Mark, <i>Where Wall Street's Tending In Trading Systems Design</i> , Wall Street Computer, June, 1990.
<i>mm</i>	C15	Brennan, P.J., <i>OTC Trading Systems Lead In Race to Automate</i> , Wall Street Computer Review, November, 1990.
<i>mm</i>	C16	Cody, B.J., <i>Reducing the Costs and Risks of Trading Foreign Exchange</i> , Wall Street Computer Review, November, 1990.
<i>mm</i>	C17	Goodman, Ann, <i>The Moneyp: Mixing Men and Machines for Market Might</i> , Wall Street Computer Review, August, 1991.
<i>mm</i>	C18	Heyman, D.P., <i>A Performance Model of the Credit Manager Algorithm</i> , Computer Networks and ISDN Systems, March, 1992.
<i>mm</i>	C19	<i>Method For Collection of Accounting Data</i> , IBM Technical Disclosure Bulletin, 1986.
<i>mm</i>	C20	Banks Look to Build FX Order-Matching System Quotron Eyed as Vendor, Minex as Co-Sponsor?, FX Week, May 17, 1991.
<i>mm</i>	C21	<i>TST Interviews Evan Schulman</i> , Automated Trading Pioneer, Trading Systems Technology, July 15, 1991.
<i>mm</i>	C22	Schmerken, Ivy, <i>Staying in the Middle:...Brokers Are Fighting to Keep Their Role in the Market; Includes Related Article on Crossing Networks</i> , Wall Street Computer Review, December, 1991.

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mm	C23	Jeffries, AZX, Others Team With Buy-Side Software System, Wall Street Letter, June 8, 1992
mm	C24	Proprietary Execution: Minex Secures Asian Support for Order-Matching System, Trading Systems Technology, January 27, 1992.
mm	C25	Proprietary Execution: Quotron, EBS Demo Prototype of Forex Order-Matching System, Trading Systems Technology, November 4, 1991.
mm	C26	Eleven Banks, Quotron Unveil EBS Demo Anonymous Forex Order-Matching System, FX Week, November 1, 1991
mm	C27	Keith, C., The Overdue Revolution: Equity Trading in the Post-Electronic Age: A Working Plan for a Customer-Based System, Investment Dealer's Digest, September 30, 1991.
mm	C28	Fingelton, E., Tokyo Takes on Reuters in the Race to Wire the Forex World, International Japan Journal, P. 35, December, 1990.
mm	C29	Arend, M., New Systems Lighten Load on Bank Securities Wings; Warrington Financial Systems' Broker-Dealer Module for the firm's Bond On-Line Trading System meets needs of Section 20 subsidiaries of banks, Wall Street Computer Review, Nov. 1990.
mm	C30	VAX-11 Version of "IBIS" Released by Tymshare, Computer World, May 9, 1983.
mm	C31	Capitol Hill Hearing Testimony, Shawn A. Dorsch, Pres. & CEO of Derivatives Net, Inc., Senate Banking, Housing & Urban Affairs Changing Financial Markets, May 8, 2000.
mm	C32	Perkins, Fred J., Nordex: Automated Trading for Nordic Equities, Computers in the City '89, London, November, 1989
mm	C33	Money Match: Functional Specification, Version 1, August, 1990.
mm	C34	LIFFE User Manual, How the Market Works, 3 rd Edition - February, 2000.
mm	C35	2000 ISDA Definitions, International Swaps and Derivatives Association, Inc., pp. 24-25.

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